



PATENT  
51270-27707

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  
SHIOZAKI, et al.

Serial No.: 09/965,357

Filed: September 27, 2001

For: OPTICAL DISK RECORDING  
APPARATUS

Group No.: 2653

Examiner: PAUL W. HUBER

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JUN 18 2004

Technology Center 2600

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Mail Stop DD  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

1. ☒ The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b).
2. ☐ The information disclosure statement transmitted herewith is being filed *after* three months of the filing date of this national application or the date of entry of the national stage as set forth in §1.491 in an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but *before* the mailing date of either:
  - (1) a final action under §1.113 or
  - (2) a notice of allowance under §1.311, whichever occurs first.

**CERTIFICATION OR FEE**

A. Included with this transmittal is:

- i. ☐ a certification (set forth below) in accordance with 37 C.F.R. §1.97(e). (If for any reason the certificate set forth below should be unsatisfactory, the Commissioner is provisionally authorized to charge the \$240 fee (37 C.F.R. §1.17(p)) to Deposit Account No. 16-1805. A copy of this sheet is enclosed.)

**OR**

- ii. ☐ the attached fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00).

3. ☐ The information disclosure statement transmitted herewith is being filed *after* a final action under §1.113 or a notice of allowance under §1.311, whichever occurs first, but before, or simultaneously with the payment of the issue fee.

**CERTIFICATION, PETITION AND FEE**

A. In accordance with the requirements of 37 C.F.R. §1.97(d):

- i. Set forth below is a certification as specified in 37 C.F.R. §1.97(e).
- ii. Applicant hereby petitions for the consideration of the accompanying information disclosure statement. 37 C.F.R. §1.97(d)(ii).
- iii. Applicant submits the petition fee set forth in §1.17(i)(1). (\$180.00).

**CERTIFICATION**

(Required if 2Ai or 3 above is marked)

4. I, the person signing below, certify

- ☐ that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

**OR**

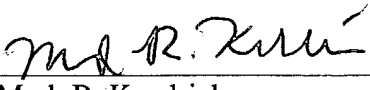
- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

5. ☒ If it should be determined that for any reason either an insufficient or an excessive fee has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 16-1805. A copy of this petition is enclosed.

Respectfully submitted,

PILLSBURY WINTHROP LLP

Dated: June 10, 2004

By:   
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FORM PTO-1449 (modified)  
To: U.S. Department of Commerce  
(PW FORM PAT-1449)  
Patent and Trademark Office



Atty. Dkt. No.	M#	Client Ref.
51270	277017	H7524US
Applicant: SHIOZAKI, et al.		
Appln. No.: 09/965,357		
Filing Date: 09/27/2001		
Examiner: Huber, Paul W.		Group Art Unit: 2653

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Date: June 10, 2004 Page 1 of 1

## U.S. PATENT DOCUMENTS

Examiner's Initials*	Document Number	Date MM/YYYY	Name (Family Name of First Inventor)	Class	Sub Class	Filing Date (if appropriate)
	AR 5,841,747	11/1998	Kubota, et. al.	369	54	
	BR 5,495,463	02/1996	Akagi, et. al.	369	116	
	CR 6,031,803	02/2000	Kubota, et. al.	369	54	
	DR 2002/0041552A1	04/2002	Shiozaki et al.	369	53.26	
	ER					

## FOREIGN PATENT DOCUMENTS

	Document Number	Date MM/YYYY	Country	Inventor Name	English Abstract		Translation Readily Available	
					Enclosed	No	Enclose	No
	FR 02-173972	07/1990	Japan	Masafumi, et. al.	x			
	GR 07-044868	02/1995	Japan	Isao, et. al.	x			
	HR 08-339625	12/1996	Japan	Toru, et. al.	x			
	IR 11-296858	10/1999	Japan	Taizo, Kusano	x			
	JR 09-045982	02/1997	Japan	Nagasawa, Masaya	x			
	KR 63-121130	05/1988	Japan	Sato, et. al.	x			
	LR 02-005221	01/1990	Japan	Yamaguchi, et. al	x			
	MR 05-028495	02/1993	Japan	Masuda, et. al.	x			
	NR							
	OR							
	PR							

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OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

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Examiner Date Considered:

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.